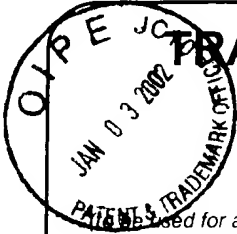


GP 1638

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# TRANSMITTAL FORM

Application Number	09/972,805
Filing Date	October 5, 2001
First Named Inventor	Vicki L. CHANDLER et al.
Group Art Unit	1638
Examiner Name	To Be Assigned
Attorney Docket No.	416272061200

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## ENCLOSURES (check all that apply)

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| <input type="checkbox"/> Fee Attached  | <input type="checkbox"/> Drawing(s)   | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences        |
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| <input type="checkbox"/> After Final   | <input type="checkbox"/> Petition   | <input type="checkbox"/> Proprietary Information   |
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| <input checked="" type="checkbox"/> Information Disclosure Statement - 3 pgs IN DUPL | <input type="checkbox"/> Request for Refund   |  |
| <input type="checkbox"/> PTO-1449 - 1 pg w/4 refs attached - IN DUPL                 | <input type="checkbox"/> CD, Number of CD(s) _____                                      |  |

- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/ Incomplete Application
- ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

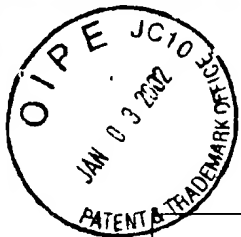
Remarks

## SIGNATURE OF APPLICANT, ATTORNEY OR AGENT

Firm or Individual Name	Michael R. Ward, Ph.D. (Reg. No. 38,651) MORRISON & FOERSTER LLP 425 Market Street, San Francisco, CA 94105-2842
Signature	<i>Michael R. Ward</i>
Date	November 16, 2001

LILIA OLSEN

Business Hours Signature: This form is required to have 2 hours to complete. Time will vary depending upon the needs of the individual. Any information in the amount of time you are required to complete this form should be sent to the Patent Information Office, U.S. Patent and Trademark Office, Washington, DC 20590. Do not send fees or completed form to this address.



PATENT  
Docket No. 416272061200

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

V. CHANDLER et al.

Serial No.: 09/972,805

Filing Date: October 5, 2001

For: GENETIC FUNCTIONS REQUIRED  
FOR GENE SILENCING IN MAIZE

Examiner: To Be Assigned

Group Art Unit: 1638

**SUPPLEMENTAL INFORMATION DISCLOSURE  
STATEMENT UNDER 37 C.F.R. § 1.97**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents are also submitted herewith. The Examiner is requested to make these documents of record.

This Information Disclosure Statement is submitted:

- ☒ **Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required.**
- ☐ After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.
  - ☐ A fee is required. A check in the amount of \* is enclosed.
  - ☐ A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below; accordingly, no fee is believed to be due.
- ☐ After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a check in the amount of \* is enclosed.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.

I hereby certify that no item of information was cited in a communication from a foreign patent office in a counterpart foreign application or, to the best of my knowledge after making a reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, applicant petitions for any required relief including extensions of time and authorizes the Assistant Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing 416272061200. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Dated: November 12, 2001

Respectfully submitted,

By: Michael R. Ward  
Michael R. Ward  
Registration No. 38,651

Morrison & Foerster LLP  
425 Market Street  
San Francisco, California 94105-2482  
Telephone: (415) 268-6237  
Facsimile: (415) 268-7522

Form PTO-1449

INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION

(Use several sheets if necessary)

Docket Number **416272061200**

Application Number 09/972,805

Applicant

V. Chandler et al.

Filing Date October 5, 2001

Group Art Unit **1635**Mailing Date **November 16, 2001****RECEIVED**

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## U.S. PATENT DOCUMENTS

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Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date If Appropriate

## FOREIGN PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Country	Class	Subclass	Translation YES NO

## OTHER DOCUMENTS

(including author, title, Date, Pertinent Pages, Etc.)

Examiner Initials	Ref. No.	Title
	1.	Kermicle, Jerry L. "Epigenetic Silencing and Activation of a Maize <i>r</i> Gene", <u>Epigenetic Mechanisms of Gene Regulation</u> , V.E.A. Russo et al. eds. (New York: Cold Spring Harbor Laboratory Press) (1996): 267-287.
	2.	Matzke, A. J. M. et al. "Homology-dependent gene silencing in transgenic plants: epistatic silencing loci contain multiple copies of methylated transgenes", <i>Mol. Gen. Genet.</i> 244 (1994): 219-229.
	3.	Meyer, P. and H. Saedler. "Homology-dependent gene silencing in plants", <i>Annu. Rev. Plant Physio. Plant Mol. Biol.</i> 47 (1996): 23-48.
	4.	Scheid, Ortrun Mittelsten et al. "Release of epigenetic gene silencing by trans-acting mutations in <i>Arabidopsis</i> ", <i>Proc. Natl. Acad. Sci. USA</i> 95 (1998): 632-637.

EXAMINER (Examiner)

DATE CONSIDERED

EXAMINER Initial if citation considered, whether or not the citation conforms with MPEP 609. Draw a line through the citation if not in conformance with MPEP 609.